

Guidelines for Announcing a Grant or Cooperative Agreement Funding Opportunity

The Office of Management and Budget (OMB) issued a policy directive in the Federal Register, Volume 68, Number 195, October 8, 2003, requiring Federal agencies to post competitive grant funding opportunities on the www.grants.gov website. When the term grant is used in these guidelines, it will also refer to cooperative agreements, unless distinctions are specifically stated.

I. Definitions

The definitions in this section are to provide clarity in reading the contents of this document. The definitions for A, B, and C provide direct quotations from the Federal Grant and Cooperative Agreement Act (FGCAA) of 1977 (31 USC 6301-6308). Grants and Cooperative Agreements are entered into by APHIS only to provide funding to non-federal recipients. Transfers of funds to other federal agencies are accomplished under Interagency Agreements.

- A. Grant: This instrument is used when (1) the principal purpose of the relationship is to transfer a thing of value to the State, local government, or other recipient to carry out a public purpose of support or stimulation authorized by a law of the United States instead of acquiring (by purchase, lease, or barter) property or services for the direct benefit of the United States Government; and (2) substantial involvement *is not* expected between the executive agency and the State, local government, or other recipient when carrying out the activity contemplated in the agreement.
- B. Cooperative Agreement: Instrument used when the relationship is as stated for a grant in A(1) and “(2) substantial involvement *is* expected between the executive agency and the State, local government, or other recipient when carrying out the activity contemplated in the agreement.”
- C. Contract: This instrument used when “(1) the principal purpose of the instrument is to acquire (by purchase, lease, or barter) property or services for the direct benefit or use of the United States Government; or (2) the agency decides in a specific instance that the use of a procurement contract is appropriate.”
- D. Catalog of Federal Domestic Assistance (CFDA) Program: As listed in the CFDA, APHIS has two programs: 10.025 entitled “Plant and Animal Disease, Pest Control and Animal Care” and 10.028 entitled “Wildlife Services”. All APHIS projects fall under 10.025 except for those relating to Wildlife Services.
- E. Project: The specific activity to be conducted under a given funding opportunity and grant (e.g., Cooperative Program for the National Animal Identification System).
- F. Servicing Agreements Staff: The staff within the awarding official’s office that provides administrative support in the development and administration of agreements. When a national announcement is executed, this support will be provided by the Agreements Services Center (ASC).

If the proposed initiative meets the definition of a contract as defined above, contact the Administrative Services Division for guidance on posting your competitive initiative on the appropriate venue.

II. Website Components

On the grants.gov website, each funding opportunity contains two parts: (1) a **Synopsis** that provides prospective applicants with brief information about the funding opportunity, and (2) a **Full Announcement** that gives them all the information they need to apply online or by mail.

III. Developing the Funding Opportunity

Below is guidance in developing the synopsis and full text announcement for a funding opportunity. While primary responsibility for developing the synopsis and full announcement resides with the Program Manager, administrative guidance and support is the responsibility of the servicing agreements staff.

A. Synopsis

The purpose of the synopsis is to provide potential applicants with enough information about the funding opportunity to decide whether they are interested in viewing the full announcement. As of November 7, 2003, synopses of all competitive grant opportunities are required to be posted on Grants.gov. Applicants can search for opportunities on the grants.gov site by key words, dates, CFDA numbers, or Agency names. Using the format provided in Attachment 1, the APHIS program manager provides all the required information, including a description of the project. Typical funding opportunities can be described in a couple of paragraphs.

The synopsis that is posted on www.grants.gov will contain a link to APHIS' MRPBS/Agreements Services Center (ASC) webpage where the Full Announcement, and other related information, will be posted.

B. Full Announcement

As prescribed by Federal Register Notice Volume 68, June 23, 2003, announcements must follow a uniform format. The Federal Register Notice, "Announcement Format of Federal Funding Opportunity" (Attachment 3), provides a clear definition of what each section is to contain. The Federal Register guidelines are to be followed when developing and formatting an announcement, which includes an Overview and the Full Text. All of the required headings are to be addressed.

A full announcement contains a:

- Cover Sheet with Overview Information
- Table of Contents (required for APHIS announcements)

- Complete description of the funding opportunity which address all the information required in the Federal Register Notice (Attachment 3)

Attachment 4 provides an example of an APHIS Cooperative Agreement Announcement that was published on Grants.gov.

Once the program manager completes the required Synopsis and Full Announcement (and other related attachments, if applicable), it is to be returned via email to the servicing agreements specialist in the awarding official's office for review and posting on www.grants.gov. Currently, Eileen Berke at the Agreements Services Center in the Financial Services Branch, Financial Management Division, MRPBS is the APHIS point of contact and liaison for grants.gov. Future postings for Regional, Laboratory and Center competitive opportunities will be the responsibility of the awarding officials' agreements servicing staff personnel. Implementation of this process is pending decision regarding the expansion of competitive awards within APHIS and/or the decision to post non-competitive awards on grants.gov.

In most cases, information collected from applicants is subject to approval from OMB. For example, the National Animal Identification System Announcement (Attachment 4) asked applicants to apply using a standard work plan format contained in the Announcement (see page 7). The applicant base for this announcement was state and tribal governments and APHIS expected to receive more than 10 applications. OMB viewed this work plan format as a form for collecting information from applicants; and, as such, APHIS was required to seek approval from OMB under the Paperwork Reduction Act. Although a work plan and financial plan is required from all grant applicants, expectations that more than 10 applicants will apply to a single funding announcement is a basis for seeking the required OMB approval. The MRPBS Forms, Issuances, and Records Management (FIRM) Staff is the APHIS liaison with OMB to obtain required approvals.

The approval process takes about 3 months, as proposed information collections are posted in the Federal Register and subject to public comment. When the public comment period and OMB review process is complete, OMB will assign a control number for the information collection. This number must go in the announcement, and the number is good for a finite period of time. Thus, once the collection is approved, we can use the same work plan format for subsequent Announcements and do not need to go through the OMB review process every time we issue an Announcement that collects the same information. The OMB approval timeframe must be considered when anticipating an announcement to ensure that program time lines are met. Additionally, once a finalized, comprehensive draft announcement is received by the servicing agreements staff for review, two weeks is allowed for review. Comments and suggested changes will need to be addressed before the Announcement can be posted. If the information collection needs to be approved by OMB, the work plan format can be submitted to the MRPBS, FIRM staff while the remainder of the announcement is being reviewed by the servicing agreements staff.

**REVIEW/APPROVAL PROCESS FOR NEW FUNDING ANNOUNCEMENT DEVELOPMENT AND
POSTING ON WWW.GRANTS.GOV
HEADQUARTERS AND REGIONAL PROGRAMS**

Step	Action Needed	Responsibility of	Time Frames
1	Workplan approval by OMB under the Paperwork Reduction Act (applicable when it is expected that more than 10 applicants will apply to the Announcement)	Program Manager/MRPBS,FIRM Staff	3 months from receipt by OMB*
2	Synopsis and Announcement Development	Program Manager	Estimated 2 weeks - 1 month
3	Announcement Review/Finalization	ASC Analyst/Program Manager	2 weeks minimum
4	Synopsis posting on Grants.gov and link to Announcement on ASC Website once approved in final	ASC Analyst	2-3 workdays
5	Announcement Open/Applicants Apply	Applicants	2 weeks minimum
6	Panel Selection	Program Manager/Panel	As Needed
7	Panel Review	Program Manager/Panel	As Needed
8	Selection(s) Finalized	Program Manager/ADO	As Needed

Forms, Issuances, and Records Management (FIRM)

*This action is completed the first time an Announcement for a particular project is developed. Paperwork Reduction Act approvals are typically for 3 years; therefore, the approval process is not required every year if the same approved workplan is used in subsequent years' announcements.

Synopsis for a Funding Opportunity

Funding Type

Check One: ☐ Grant ☐ Cooperative Agreement

Program Manager's Mailing Address for Additional Information

Funding Opportunity Title (Brief title that describes the mission-related project to be funded by APHIS)

Applications Due Date/Time _____ **OR Postmarked by Date** _____ (Select one)

CFDA No., Title: ☐ 10.025 Plant, Pest, and Animal Disease, Pest Control and Animal Care
☐ 10.028 Wildlife Services

Eligible Applicants (check all that apply)

- ☐ City or township Governments
- ☐ County Governments
- ☐ For profit organizations other than small businesses
- ☐ Independent school districts
- ☐ Individuals
- ☐ Native American tribal governments (Federally recognized)
- ☐ Native American tribal organizations (other than Federally recognized tribal governments)
- ☐ Nonprofits having a 501 (c) (3) status with the IRS, other than institutions of higher education
- ☐ Nonprofits that do not have a 501 (c) (3) status with IRS, other than institutions of higher education
- ☐ Other (explain) _____
- ☐ Private institutions of higher education
- ☐ Public and State controlled institutions of higher education
- ☐ Public housing authorities/Indian housing authorities
- ☐ Small businesses
- ☐ Special district governments
- ☐ State Governments
- ☐ Unrestricted

Is Cost Sharing a Requirement for applicants? _____Yes _____No

Funding Opportunity Description (Be concise. Give enough information for applicants to decide if they want to view the full text announcement. This description will be elaborated on in the full text announcement.)

This image shows a full page of white paper with horizontal black lines, resembling notebook paper. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

Date to Post this Synopsis on the Grants.gov website: _____

Full Announcement Outline

Below is the uniform format for Funding Opportunity Announcements, taken from the Federal Register Notice Volume 68, June 23, 2003. An announcement contains two parts: the Overview and Full Text, and must address each of the bulleted sections. The Federal Register Notice (Attachment 3) provides a clear definition of what each section should contain.

Overview Information (Cover Sheet to Announcement)

a. Required Overview Content

- Agency Name
- Funding Opportunity Title
- Announcement Type
- Funding Opportunity Number
- Catalog of Federal Domestic Assistance Number
- Key Dates

b. Additional Overview Content (Optional)

c. Method of Presentation

- Executive summary (Optional-used in long announcements)
- Cover and/or inside cover (contains overview information above and in lieu of an Executive Summary)

Full Text of Announcement

I. Funding Opportunity Description

II. Award Information (if it is expected that Cooperative Agreements will be awarded, APHIS' role in the project must be described here.)

III. Eligibility Information

1. Eligible Applicants
2. Cost Sharing or Matching
3. Other Eligibility Criteria (if applicable)

IV. Application and Submission Information

1. Address to Request Application Package
2. Content and Form of Application Submission
3. Submission Dates and Times
4. Intergovernmental Review (if applicable)
5. Funding Restrictions
6. Other Submission Requirements

V. Application Review Information

1. Criteria
2. Review and Selection Process
3. Anticipated Announcement and Award Dates (Optional)

VI. Award Administration Information

1. Award Notices
2. Administrative and National Policy Requirements
3. Reporting

VII. Agency Contact(s)

VIII. Other Information (Optional)

Attachment 3, Federal Register Notice Vol. 68, No. 120, describes each of the Full Announcement components in detail. Attachment 4 is an example of an Announcement posted in 2004.

6. *Information Contact.* Direct any questions regarding this policy letter to Beth Phillips, OFFM, 202-395-3993.

7. *Effective Date.* The policy letter is effective 30 days after issuance. All implementing actions other than regulatory revisions must be completed by the Executive departments and agencies within 3 months of the effective date; regulatory revisions must be completed within 12 months.

Dated: June 17, 2003.

Linda M. Springer,
Controller.

Announcement Format of Federal Funding Opportunity

This document is a uniform format for Federal agencies' announcements of funding opportunities under which discretionary awards of grants or cooperative agreements may be made. The format has two parts, the first part provides overview information, and the second part includes the full text of the announcement.

Overview Information

a. Required Overview Content

The agency must display prominently the following information, in the sequential order shown, in a location preceding the full text of the announcement:

- *Federal Agency Name(s)—Required.* Include the name of your department or agency and the specific office(s) within the agency (e.g., bureau, directorate, division, or institute) that are involved in the funding opportunity.
- *Funding Opportunity Title—Required.* If your agency has a program name that is different from the Funding Opportunity Title, you also could include that name here.
- *Announcement Type—Required.* Indicate whether this is the initial announcement of this funding opportunity or a modification of a previously announced opportunity. If it modifies a previous announcement, provide the date of that announcement and identify the portions that are being modified. Note that a modification does not need to include all of the sections of the full announcement text.
- *Funding Opportunity Number—Required, if applicable.* Your agency may wish to assign identifying numbers to announcements. If you assign a number, you must include it. If it modifies a previous announcement, provide the number of that announcement.
- *Catalog of Federal Domestic Assistance (CFDA) Number(s)—Required.* You also may wish to include the program name listed in the CFDA for each CFDA number that you give.
- *Dates—Required.* Include key dates that potential applicants need to know. Key dates include due dates for applications or Executive Order 12372 submissions, as well as any letters of intent or pre-applications. For any announcement issued before a program's application materials are available, key dates also include the date on which those materials will be released.

b. Optional, Additional Overview Content

Following the required overview information described above, the agency may present other information. Present any optional overview information in a sequential order that parallels the organization of the full text of the announcement. Examples of overview information that could help potential applicants decide whether to read the full announcement are: a concise description of the funding opportunity, the total amount to be awarded, the anticipated amounts and/or numbers of individual awards, the types of instruments that may be awarded, who is eligible to apply, whether cost sharing is required, and any limitations on the numbers of applications that each applicant may submit. You also may include other information that could later help applicants more quickly and easily find what they need (e.g., where one can get application materials).

c. Method of Presentation

The agency may include the summary information in any of the following ways:

- *Executive summary.* An agency may wish to include an executive summary of the announcement before the full text. Especially for announcements that are long (25 pages or more in length) or complex, agencies should consider including executive summaries with at least the required overview information described above in paragraph a., as well as any additional information described in paragraph b. An executive summary should be short, preferably one page, with information in concise bullets to give an overview of the funding opportunity.
- *Cover and/or inside cover.* If the agency does not wish to include an executive summary, an alternative is to provide at least the required overview information described above in paragraph a. on the cover and/or inside cover of the announcement (or the first screen a potential applicant would see, in the case of an electronic announcement).

Federal Register format. For an announcement that appears as a notice in the **Federal Register**, some of the required overview information will appear with other information near the beginning of the notice, due to the **Federal Register's** standard format for notices. Nonetheless, the agency must display the required overview information (described above in paragraph a.) in a single location preceding the full text of the announcement, which would be in the **SUPPLEMENTARY INFORMATION** section of the **Federal Register** notice. The agency may elect to include additional information, as described above in paragraph b.

Full Text of Announcement

The full text of the announcement is organized in sections. The format indicates immediately following the title of each section whether that section is required in every announcement or is an agency option.

The format is designed so that similar types of information will appear in the same sections in announcements of different Federal funding opportunities. Toward that end, there is text in each of the format's sections to describe the types of information

that an agency would include in that section of an actual announcement.

An agency that wishes to include information on a subject that the format does not specifically discuss may address that subject in whatever section(s) is most appropriate. For example, if an agency chooses to address performance goals in the announcement, it might do so in the funding opportunity description, the application content, and/or the reporting requirements.

Similarly, when this format calls for a type of information to be in one particular section, an agency wishing to address that subject in other sections may elect to repeat the information in those sections or use cross references between the sections (there should be hyperlinks for cross-references in any electronic versions of the announcement). For example, an agency may want to include in Section I information about the types of recipients who are eligible to apply. The format specifies a standard location for that information in Section III.1 but that does not preclude repeating the information in Section I or creating a cross reference between Sections I and III.1, as long as a potential applicant can find the information quickly and easily from the standard location.

The sections of the full text of the announcement are described in the following paragraphs.

I. Funding Opportunity Description—Required

This section contains the full programmatic description of the funding opportunity. It may be as long as needed to adequately communicate to potential applicants the areas in which funding may be provided. It describes the agency's funding priorities or the technical or focus areas in which the agency intends to provide assistance. As appropriate, it may include any program history (e.g., whether this is a new program or a new or changed area of program emphasis). This section may communicate indicators of successful projects (e.g., if the program encourages collaborative efforts) and may include examples of projects that have been funded previously. This section also may include other information the agency deems necessary, such as citations for authorizing statutes and regulations for the funding opportunity.

II. Award Information—Required

Provide sufficient information to help an applicant make an informed decision about whether to submit a proposal. Relevant information could include the total amount of funding that your agency expects to award through the announcement; the anticipated number of awards; the expected amounts of individual awards (which may be a range); the amount of funding per award, on average, experienced in previous years; and the anticipated start dates and periods of performance for new awards. This section also should address whether applications for renewal or supplementation of existing projects are eligible to compete with applications for new awards.

This section also must indicate the type(s) of assistance instrument (i.e., grant,

cooperative agreement, and/or other instrument) that may be awarded if applications are successful. If cooperative agreements may be awarded, this section either should describe the "substantial involvement" that the agency expects to have or should reference where the potential applicant can find that information (e.g., in the funding opportunity description in Section I or award administration information in Section VI). If procurement contracts also may be awarded, you must say so.

III. Eligibility Information

This section addresses considerations or factors that make an applicant or application eligible or ineligible for consideration. This includes the eligibility of particular types of applicant organizations, any factors affecting the eligibility of the principal investigator or project director, and any criteria that make particular projects ineligible. You should make clear whether an applicant's failure to meet an eligibility criterion by the time of an application deadline will result in your agency's returning the application without review or, even though an application may be reviewed, will preclude the agency from making an award. Key elements to be addressed are:

1. **Eligible Applicants—Required.** You must clearly identify the types of entities that are eligible to apply. If there are no restrictions on eligibility, this section may simply indicate that all potential applicants are eligible. If there are restrictions on eligibility, it is important to be clear about the specific types of entities that are eligible, not just the types that are ineligible. For example, if your program is limited to non-profit organizations subject to Section 501(c)(3) of the tax code, your announcement should say so. Similarly, it is better to state explicitly that Native American tribal organizations are eligible than to assume that they can unambiguously infer that from a statement that non-profit organizations may apply. Eligibility also can be expressed by exception, (e.g., open to all types of domestic applicants other than individuals). This section should refer to any portion of Section IV specifying documentation that must be submitted to support an eligibility determination (e.g., proof of 501(c)(3) status as determined by the Internal Revenue Service or an authorizing tribal resolution). To the extent that any funding restriction in Section IV.5 could affect the eligibility of an applicant or project, you must either restate that restriction in this section or provide a cross-reference to its description in Section IV.5.

2. **Cost Sharing or Matching—Required.** You must state whether there is required cost sharing, matching, or cost participation without which an application would be ineligible (if cost sharing is not required, you must explicitly say so). Required cost sharing may be a certain percentage or amount, or may be in the form of contributions of specified items or activities (e.g., provision of equipment). It is important that the announcement be clear about any restrictions on the types of cost (e.g., in-kind contributions) that are acceptable as cost

sharing. Cost sharing as an eligibility criterion includes requirements based in statute or regulation, as well as those imposed by administrative decision of the agency. This section should refer to the appropriate portion(s) of Section IV stating any pre-award requirements for submission of letters or other documentation to verify commitments to meet cost-sharing requirements if an award is made.

3. **Other—Required, if applicable.** If there are other eligibility criteria (i.e., criteria that have the effect of making an application or project ineligible for award, whether you refer to them as "responsiveness" criteria, "go-no go" criteria, "threshold" criteria, or in other ways), you must clearly state them. For example, if entities that have been found to be in violation of a particular Federal statute are ineligible, it is important to say so. In this section you also must state any limit on the number of applications an applicant may submit under the announcement and make clear whether the limitation is on the submitting organization, individual investigator/program director, or both. Also use this section to address any eligibility criteria for beneficiaries or for program participants other than award recipients.

IV. Application and Submission Information

1. **Address to Request Application Package—Required.** You must tell potential applicants how to get application forms, kits, or other materials they need to apply (if this announcement contains everything they need, this section need only say so). You may give an Internet address where they can access the materials.* Since high-speed Internet access is not yet universally available for downloading documents, there also should be a way for potential applicants to request paper copies of materials, such as a U.S. Postal Service mailing address, telephone or FAX number, Telephone Device for the Deaf (TDD) or Text Telephone (TTY) number, and/or Federal Information Relay Service (FIRS) number.

2. **Content and Form of Application Submission—Required.** This section must identify the required content of an application and the forms or formats that an applicant must use to submit it. If any requirements are stated elsewhere because they are general requirements that apply to multiple programs or funding opportunities, this section may refer to where those requirements may be found. This section also should address any preliminary submissions that the agency requires or encourages, either to facilitate its own planning or to provide potential applicants with feedback to help them decide whether to submit a full proposal.

For a full application, this includes all content and forms or formats that constitute a complete application, including: general information (e.g., applicant name and address), budgetary information, narrative programmatic information, biographical sketches, and all other required information (e.g., documentation that an applicant meets stated eligibility criteria or certifications or assurances of compliance with applicable requirements, such as evidence of compliance with human subjects

requirements). You must either include required forms or formats as part of this announcement or state where the applicant may obtain them.

In this section, you should specifically address content and form or format requirements for:

- Pre-applications, letters of intent, or white papers that your agency requires or encourages (see Section IV.3), including any limitations on the number of pages or other formatting requirements similar to those for full applications.
- The application as a whole. For hard copy submissions, that could include any limitations on the number of pages, font size and typeface, margins, paper size, number of copies, and sequence or assembly requirements. If electronic submission is permitted or required,* that could include special requirements for formatting or signatures.

- Component pieces of the application (e.g., if all copies of the application must bear original signatures on the face page or the program narrative may not exceed 10 pages). This includes any pieces that may be submitted separately by third parties (e.g., references or letters confirming commitments from third parties that will be contributing a portion of any required cost sharing).

- Information that successful applicants must submit after your agency notifies them of its intent to make awards, but prior to award. This could include evidence of compliance with human subjects requirements or information your agency needs to comply with the National Environmental Policy Act (NEPA).

3. **Submission Dates and Times—Required.** Your announcement must identify due dates and times for all submissions. This includes not only the full applications but also any preliminary submissions (e.g., letters of intent, white papers, or pre-applications). It also includes any other submissions of information before award that are separate from the full application. If the funding opportunity is a general announcement that is open for a period of time with no specific due dates for applications, this section should say so. Note that the information on dates that is included in this section also must appear with other overview information in a location preceding the full text of the announcement (see "Overview Information" segment of this format).

For each type of submission that you address, indicate whether the submission is encouraged or required and, if required, any deadline date for submission (or dates, if the agency plans more than one cycle of application submission, review, and award under the announcement). The announcement must state (or provide a reference to another document that states):

- Any deadline in terms of a date and local time.
- What the deadline means (e.g., whether it is the date and time by which the agency must receive the application, the date by which the application must be postmarked, or something else) and how that depends, if at all, on the submission method (e.g., mail, electronic, or personal/courier delivery).
- The effect of missing a deadline (e.g., whether late applications are neither

reviewed nor considered or are reviewed and considered under some circumstances).

- How the receiving Federal office determines whether an application or pre-application has been submitted before the deadline. This includes the form of acceptable proof of mailing or system-generated documentation of receipt date and time.

This section also may indicate whether, when, and in what form the applicant will receive an acknowledgment of receipt.

You should consider displaying the above information in ways that will be easy to understand and use. It can be difficult to extract all needed information from narrative paragraphs, even when they are well written. A tabular form for providing a summary of

the information may help applicants for some programs and give them what effectively could be a checklist to verify the completeness of their application package before submission. For example, a summary table might look like:

What to submit	Required content	Required form or format	When to submit it
Preapplication (optional, but encouraged).	Described in Section IV.2 of this announcement.	Format described in section _ of grants policy manual at (give URL or where to obtain the manual)*.	By (give pre-application due date).
Application:			
Cover sheet	(per required form)	Form SF—, available from (give source).	By (give application due date and time).
Budget information	(per required form)	Form SF—, available from (give source).	
Narrative	Described in Section IV.2 of this announcement.	Format described in Section IV.2 of this announcement.	
Assurance	(per required form)	Form SF—, available from (give source).	Prior to award, when requested by grants officer (if application is successful).
Letters from third parties contributing to cost sharing.	Third parties' affirmations of amounts of their commitments.	No specific form or format.	
Statement of intent to comply with human subjects requirements.	(per required form)	Form SF—, available from (give source).	

4. *Intergovernmental Review—Required, if applicable.* If the funding opportunity is subject to Executive Order (EO) 12372, "Intergovernmental Review of Federal Programs," you must say so. In alerting applicants that they must contact their State's Single Point of Contact (SPOC) to find out about and comply with the State's process under EO 12372, you may wish to inform them that the names and addresses of the SPOCs are listed in the Office of Management and Budget's home page at: <http://www.whitehouse.gov/omb/grants/spoc.html>.

5. *Funding Restrictions—Required.* You must include information on funding restrictions in order to allow an applicant to develop an application and budget consistent with program requirements. Examples are whether construction is an allowable activity, if there are any limitations on direct costs such as foreign travel or equipment purchases, and if there are any limits on indirect costs (or facilities and administrative costs). You also must tell applicants if awards will not allow reimbursement of pre-award costs.

6. *Other Submission Requirements—Required.* This section must address any other submission requirements not included in the other paragraphs of this section. This might include the format of submission, *i.e.*, paper or electronic, for each type of required submission. Applicants should not be required to submit in more than one format and this section should indicate whether they may choose whether to submit applications in hard copy or electronically, may submit only in hard copy, or may submit only electronically.

This section also must indicate where applications (and any pre-applications) must be submitted if sent by postal mail, electronic means, or hand-delivery. For postal mail submission, this should include the name of

an office, official, individual or function (*e.g.*, application receipt center) and a complete mailing address. For electronic submission, this should include the URL or e-mail address; whether a password(s) is required; whether particular software or other electronic capabilities are required; what to do in the event of system problems and a point of contact that will be available in the event the applicant experiences technical difficulties.*

V. Application Review Information

1. *Criteria—Required.* This section must address the criteria that your agency will use to evaluate applications. This includes the merit and other review criteria that evaluators will use to judge applications, including any statutory, regulatory, or other preferences (*e.g.*, minority status or Native American tribal preferences) that will be applied in the review process. These criteria are distinct from eligibility criteria that are addressed before an application is accepted for review and any program policy or other factors that are applied during the selection process, after the review process is completed. The intent is to give applicants visibility into the evaluation process so that they can make informed decisions when preparing their applications and so that the process is as fair and equitable as possible.

The announcement should clearly describe all criteria, including any sub-criteria. If criteria vary in importance, the announcement should specify the relative percentages, weights, or other means used to distinguish among them. For statutory, regulatory, or other preferences, the announcement should provide a detailed explanation of those preferences with an explicit indication of their effect (*e.g.*, whether they result in additional points being assigned).

If an applicant's proposed cost sharing will be considered in the review process (as opposed to being an eligibility criterion described in Section III.2), the announcement must specifically address how it will be considered (*e.g.*, to assign a certain number of additional points to applicants who offer cost sharing, or to break ties among applications with equivalent scores after evaluation against all other factors). If cost sharing will not be considered in the evaluation, the announcement should say so, so that there is no ambiguity for potential applicants. Vague statements that cost sharing is encouraged, without clarification as to what that means, are unhelpful to applicants. It also is important that the announcement be clear about any restrictions on the types of cost (*e.g.*, in-kind contributions) that are acceptable as cost sharing.

2. *Review and Selection Process—Required.* This section may vary in the level of detail provided. The announcement must list any program policy or other factors or elements, other than merit criteria, that the selecting official may use in selecting applications for award (*e.g.*, geographical dispersion, program balance, or diversity).

You also may include other details you deem appropriate. For example, this section may indicate who is responsible for evaluation against the merit criteria (*e.g.*, peers external to the agency or Federal agency personnel) and/or who makes the final selections for award. If you have a multi-phase review process (*e.g.*, an external panel advising internal agency personnel who make final recommendations to the deciding official), you may describe the phases. You also may include: the number of people on an evaluation panel and how it operates, the way reviewers are selected, reviewer qualifications, and the way that

conflicts of interest are avoided. In addition, if you permit applicants to nominate suggested reviewers of their applications or suggest those they feel may be inappropriate due to a conflict of interest, that information should be included in this section.

3. *Anticipated Announcement and Award Dates—Optional.* This section is intended to provide applicants with information they can use for planning purposes. If there is a single application deadline followed by the simultaneous review of all applications, the agency can include in this section information about the anticipated dates for announcing or notifying successful and unsuccessful applicants and for having awards in place. If applications are received and evaluated on a "rolling" basis at different times during an extended period, it may be appropriate to give applicants an estimate of the time needed to process an application and notify the applicant of the agency's decision.

VI. Award Administration Information

1. *Award Notices—Required.* This section must address what a successful applicant can expect to receive following selection. If your practice is to provide a separate notice stating that an application has been selected before you actually make the award, this section would be the place to indicate that the letter is not an authorization to begin performance (to the extent that you allow charging to awards of pre-award costs at the recipient's own risk). This section should indicate that the notice of award signed by the grants officer (or equivalent) is the authorizing document, and whether it is provided through postal mail or by electronic means and to whom. It also may address the timing, form, and content of notifications to unsuccessful applicants.

2. *Administrative and National Policy Requirements—Required.* This section must identify the usual administrative and national policy requirements your agency's awards may include. Providing this information lets a potential applicant identify any requirements with which it would have difficulty complying if its application is successful. In those cases, early notification about the requirements allows the potential applicant to decide not to apply or to take needed actions before award. The announcement need not include all of the award terms and conditions, but may refer to a document (with information about how to obtain it) or Internet site* where applicants can see the terms and conditions.

If this funding opportunity will lead to awards with some special terms and conditions that differ from your agency's usual (sometimes called "general") terms and conditions, this section should highlight those special terms and conditions. Doing so will alert applicants who have received awards from your agency previously and might not otherwise expect different terms and conditions. For the same reason, you should inform potential applicants about special requirements that could apply to particular awards after review of applications and other information, based on the particular circumstances of the effort to be supported (e.g., if human subjects were to be

involved or if some situations may justify special terms on intellectual property, data sharing or security requirements).

3. *Reporting—Required.* This section must include general information about the type (e.g., financial or performance), frequency, and means of submission (paper or electronic) of post-award reporting requirements. Highlight any special reporting requirements for awards under this funding opportunity that differ (e.g., by report type, frequency, form/format, or circumstances for use) from what your agency's awards usually require.

VII. Agency Contact(s)—Required

You must give potential applicants a point(s) of contact for answering questions or helping with problems while the funding opportunity is open. The intent of this requirement is to be as helpful as possible to potential applicants, so you should consider approaches such as giving:

- Points of contact who may be reached in multiple ways (e.g., by telephone, FAX, and/or e-mail, as well as regular mail).
- A fax or e-mail address that multiple people access, so that someone will respond even if others are unexpectedly absent during critical periods.
- Different contacts for distinct kinds of help (e.g., one for questions of programmatic content and a second for administrative questions).

VIII. Other Information—Optional

This section may include any additional information that will assist a potential applicant. For example, the section might:

- Indicate whether this is a new program or a one-time initiative.
- Mention related programs or other upcoming or ongoing agency funding opportunities for similar activities.
- Include Internet addresses for agency Web sites that may be useful to an applicant in understanding the program (NOTE: you should make certain that any Internet sites are current and accessible).*
- Alert applicants to the need to identify proprietary information and inform them about the way the agency will handle it.
- Include certain routine notices to applicants (e.g., that the Government is not obligated to make any award as a result of the announcement or that only grants officers can bind the Government to the expenditure of funds).

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BILLING CODE 3110-01-P

* With respect to electronic methods for providing information about funding opportunities or accepting applicants' submissions of information, each agency is responsible for compliance with Section 508 of the Rehabilitation Act of 1973, as amended by the Workforce Investment Act of 1998.

OFFICE OF MANAGEMENT AND BUDGET

Standard Data Elements for Electronically Posting Synopses of Federal Agencies' Financial Assistance Program Announcements at Grants.gov FIND

AGENCY: Office of Management and Budget.

ACTION: Notice of standard data elements.

SUMMARY: The Office of Federal Financial Management (OFFM) is establishing a government-wide standard set of data elements for Federal agencies to use to electronically post, at Grants.gov FIND, synopses of announcements of funding opportunities under programs that award discretionary grants or cooperative agreements. The data elements are designed to give potential applicants: (1) Enough information about each funding opportunity to decide whether they are interested enough to look at the full announcement, which contains the detailed information they need to decide whether they wish to apply; and (2) a way to get the full announcement electronically (either directly at Grants.gov FIND or through an electronic link to another Internet site). The Federal awarding agencies jointly developed these Grants.gov FIND data elements as one part of the interagency grants streamlining effort under the Federal Financial Assistance Management Improvement Act of 1999 (Pub. L. 106-107).

FOR FURTHER INFORMATION CONTACT: Elizabeth Phillips, Office of Federal Financial Management, Office of Management and Budget, 725 17th Street, NW., Washington, DC 20503; telephone 202-395-3053; fax 202-395-3952; e-mail ephillip@omb.eop.gov.

SUPPLEMENTARY INFORMATION:

I. Background

In a Federal Register notice on August 12, 2002 (67 FR 52555), the Office of Management and Budget (OMB) proposed standard data elements for Grants.gov FIND posting of Federal funding opportunities leading to the award of grants, cooperative agreements, and other financial assistance instruments. Grants.gov FIND is modeled after FedBizOpps, an Internet site established by the General Services Administration, as the single site for giving the public access to relevant information about procurement contract opportunities that exceed \$25,000. Many of the proposed data elements

National Animal Identification System Request for Applications

**United States Department of Agriculture (USDA)
Animal and Plant Health Inspection Service (APHIS)
Veterinary Services (VS)**

Funding Opportunity Title: Cooperative Agreements for National Animal Identification System

Announcement Type: Initial announcement

Catalog of Federal Domestic Assistance Number: 10.025, Plant and Animal Disease, Pest Control, and Animal Care

Dates: Applications must be received by July 15, 2004.

Funding Description: USDA is initiating implementation of the National Animal Identification System (NAIS) in 2004. The first priority of this implementation is to get the components of the national premises system in place in fiscal year 2004.

Funding will be provided to State and Native American tribal governments to support the initial implementation of the national premises identification system within the area the projects are administered. In addition to premises identification, projects may include the conduct of trials or research to develop, test and offer solutions for administering animal identification and collecting animal movement data. To meet the educational needs of livestock producers and processors, USDA will work in concert with States, organizations, and other stakeholders. Applications for cooperative agreement funding must include a plan for developing and/or utilizing established infrastructure for outreach purposes. Emphasis will be placed on coordinating with the beef, dairy, sheep and swine industries.

Total Amount to be Awarded: \$11,640,000

Projects to be Awarded: Approximately 20 Cooperative Agreements

Eligibility: States Governments
Native American tribal governments (Federally recognized)

Cost Sharing: Cost sharing is not required, but preferred.

Application and Submission: An Applicant may submit only one application and/or be a third party in an application submitted by another State or Tribal government.

Applicants can apply through the Grants.gov website or submit paper applications to the address at the end of this announcement.

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I. Funding Opportunity Description

A. Background

The advent of increased animal disease outbreaks around the globe over the past decade, especially the recent BSE-positive cow found in Washington State, has intensified the public interest in developing a national animal identification program for safeguarding animal health. While there is currently no uniform national animal identification system in the United States for all animals of a given species, some segments of certain species are required to be identified as part of current program disease eradication activities. In addition, some significant regional voluntary identification programs are in place, and others are currently being developed and tested.

Fundamental to controlling any disease threat, foreign or domestic, to the nation's animal resources is to have a system that can identify individual animals or groups, the premises where they are located, and the date of entry to each premises. Further, in order to achieve optimal success in controlling or eradicating an animal health threat, the timely retrieval of this information and implementation of intervention strategies after confirmation of a disease outbreak is necessary.

B. USDA Approach

Our goal is to create an effective, uniform, consistent, and efficient national system. We believe this goal can be achieved by adhering to several key objectives.

- First, the system should allow producers, to the extent possible, the flexibility to use current systems or adopt new ones.
- Second, this flexibility can best be achieved by having a system that is technology neutral, so that all existing forms of effective technologies and new forms of technologies that may be developed in the future may be utilized.
- Third, the national identification system must build upon national data standards to ensure a uniform and compatible system evolves.
- Fourth, the system must not preclude producers from being able to use it with production management systems that respond to market incentives.
- Fifth, the architecture for the national identification system must be designed so that the system does not unduly increase the role and size of the government.

USDA plans to move forward with implementation of a national animal identification system in 2004, first on a voluntary basis, and eventually, if necessary, with a requirement for premises and animal identification. The first priority is to get the components of the national premises system in place in fiscal year 2004 and begin allocating premise identification numbers to cooperating States and Tribes and certain other entities that are ready to register premises. We envision

providing some funding through cooperative agreements to States and Tribes so they can develop the capacity to interface with the national premises number allocator and data repositories. Funds may be used for staff resources needed to support the administration of the premises identification systems. Once cooperators have integrated with the national systems and premises are being registered, we will incorporate the administration of animal identification numbers into the system through these early cooperators.

The technologies used to identify and track movements of animals will be worked out through cooperative agreements with States and Tribes with the opportunity for stakeholders to have input in their overall focus.

A major component of implementing a national system will be educating livestock producers and processors as to how the system would operate and their responsibilities. To meet the educational needs of livestock producers and processors, USDA will need to work in concert with States, organizations, and other stakeholders. Applications for cooperative agreements explained in the following sections must include an outreach component.

Funds allocated through the Commodity Credit Corporation will be used to fund the initial projects this fiscal year (2004). It is recognized that current funds may not be sufficient to fully support each project. Consequently, cost sharing is encouraged. The interest in animal identification is well noted by the tremendous interest expressed from industry in these projects. Projects of merit, not funded through current funds, will be considered in the next fiscal year (FY 2005).

These agreements will each support the initial implementation of the national premises system within the area the projects are administered. Also, some projects in addition to premises identification may test other aspects of national animal identification systems and offer solutions to issues needing resolution.

C. Project Criteria

The cooperative agreements will each support the initial implementation of the national premises system within the area the projects are administered. In addition to premises identification, projects may develop, test and offer solutions to issues described in Appendix A.

The USDA has established the primary data standards for the National Animal Identification System (NAIS). (See Appendix B.) The integration of these data standards in information systems at the State level and with industry identification programs/services is critical. USDA will support projects, to the extent possible, that:

- Include a plan for initiating the identification of premises in the State(s), reservations, etc., in which the project is based.
- Utilize systems that integrate with and establish the necessary data interfaces with the premises allocator, national premises repository, and national animal identification data base.
- Include a method for evaluating components of the identification system.

- Contain an outreach program for stakeholders to learn more about the identification system and that offer a plan to share experiences.

Additionally, it is preferred the projects:

- Have contributing funds, cost-shared by the applicant and/or in-kind contributions, including third party in-kind contributions.
- Involve multiple States or Tribes that include “grass roots” efforts and engage third-party service providers.
- Involve premises and animal identification of multiple species.
- Provide for the successful integration of identification and data collection systems that provide the necessary data for the national premises and animal identification data base.

D. Project’s Merit

The project application should offer merit relative to the implementation of national identification in several ways, including but not limited to the points explained below.

- Determine and demonstrate practical solutions for collecting the required data in multiple sectors of the industry (production, marketing, processing, etc.).
- Obtain experience and feedback of producers through their direct involvement (registration of premises, issuance of ID numbers, identifying animals, etc.).
- Provide a mechanism for communicating about the national identification plan, creating awareness of the program to producers and allied industry.
- Involve multiple companies, organizations, etc., that participate in production, processing and marketing to achieve the objectives.
- Identify an issue or potential obstacle that is going to be evaluated in the project and a plan to offer a solution.
- Address target issues identified by species working groups; in particular the practicality of collecting animal movement data throughout the production chain. (See Appendix A for more specifics.)

II. Award Information

A. Total Available Funds: \$11,640,000

B. Anticipated Number of Awards: 20

Expected Amounts of Individual Awards: Approx. \$50,000 - \$1,000,000

Anticipated Start Date: September 2004

C. Period of Performance: 1 Year

D. Type of Assistance Instrument: Cooperative Agreement

E. APHIS Role: APHIS Veterinary Services will administer the Cooperative Agreements and will provide advice to the project administrator, track funding, receive and review progress reports, offer comments and suggestions, and will track project performance. APHIS personnel will meet with cooperators as often as necessary to ensure progress in accomplishing the goals of the project, identifying obstacles, and resolving concerns. APHIS will work closely with cooperators to develop the necessary interfaces with the national premises allocator and the national animal identification database.

III. Eligibility Information

A. Eligible Applicants: The State Animal Health Authorities and Indian tribal governments may submit an application. In the event multiple States or Tribes work cooperatively as one project, one person from either a State or Tribe involved in the project must be responsible for the application for and administration of the agreement. This person will be referred to as the Project Administrator and will be the primary contact for the USDA. This person will also be the duly authorized representative who will sign the cooperative agreement application. The Project Administrator must submit an application in the format described in section IV.B.

Project Administrators whose projects are considered for funding on an individual basis will be required to complete the application for Federal Assistance for the official award of the cooperative agreement.

B. Cost Sharing or Matching: It is preferred that projects have contributing funds, cost-shared by the applicant or in-kind contributions, including third-party in-kind contributions.

IV. Application and Submission Information

A. Address to Request Application Package: (IV.B., “Content and Form of Application Submission” contains the project workplan format which outlines the format applicants need to use when applying. Paper copies of the other required application forms (SF-424, “Application for Federal Assistance”, SF-424A, “Budget Information – Non Construction Programs”, SF-424B, “Assurances – Non-construction Programs”, and SF-LLL, “Disclosure of Lobbying Activities”) can be requested from the following address:

USDA, APHIS, MRPBS, Agreements Services Center
Eileen Berke
4700 River Road, Unit 55, Station 4D13
Riverdale, MD 20737

They can also be retrieved from the APHIS website at the following address:

<http://www.aphis.usda.gov/mrpbs/forms/grantforms.html>

If an applicant chooses to apply through Grants.gov, the SF-424, SF-424A, SF-424B, and SF-LLL (SF-LLL is required for Federal Assistance greater than \$100,000) can be filled out and submitted online. The workplan described in IV.B, “Content and Form of Application Submission” should then be submitted as an attachment.

B. Content and Form of Application Submission

National Animal Identification System (NAIS) Assessment & Initial Implementation Projects

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0255. The time required to complete this information collection is estimated to average 20 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

WORKPLAN FORMAT

Cover Page

Name of Project:

Project Administrator:

Name of State or Tribal Government:

Address:

City, State, Zip:

Office Phone:

Cell Phone:

Fax:

Email address (Project Administrator):

List additional State departments, Tribes, etc. that have confirmed participating in the project (complete name, address, etc.)

States and Tribes may apply for one of the following categories of projects. Please check which type of project your proposal includes:

- ☐ Premises Identification Only
- ☐ Premises Identification with a Field Trial/Research component

The information that applies to Field Trials/Research in the application is to be disregarded by applicants submitting "Premises Identification Only" projects. Such applications will be evaluated on their merit, not in comparison to those with a Field Trial/Research component.

Signature of Project Administrator: _____

Date: _____

Please complete each section explained on the following pages and maintain the numbering format on your application. Section V, “Application Review Information” provides more details on the information requested and how it will be used to evaluate/select applications for funding.

Stakeholder Participation and Focus

A. Stakeholder Participation

Please provide a list of the organizations involved in the project and explain their role/involvement:

1. Producer, processor/marketing organizations
2. Government
3. Academia and/or Extension
4. Third party service providers (companies that provide services to producers)
5. Other

B. Industry Focus

1. List the livestock types that will be a significant part of the project and estimated count for each:

Beef: Dairy: Pigs: Sheep:
Other (list):

2. List the sectors of the production/marketing/processing industry involved and an approximate number participating from each (explain their involvement in the “Industry Roles” section):

Producers: Markets: Order Buyers:
Feed Lots: Transportation: Packing Plants:
Other (list):

Overall Merit of the Project

A. Introduction/Summary

Provide an overview of the project and information you feel will help others appreciate the value of the project.

B. Objectives, Purpose, and Desired Results

1. Briefly state and clearly and thoroughly explain the objective and purposes of the project; why it is critical to the successful implementation of the national identification system in your area.
2. What problems and/or questions regarding the implementation of the national identification system does the project intend to resolve (if applicable)?

3. What are the desired results; what do you hope to achieve through the project, how will the results of the project be of merit to the overall implementation of NAIS?
4. Explain how the applicant and industry will benefit from the project.

C. Components

Indicate which of the following components of the national identification system will be contained in the project and explain how the components will be integrated into the project.

1. Premises Identification (required)
 - a. State premises system (explain what system will be used)
 - b. Plan (logistics) for the registration of premises
2. Animal Identification (if applicable)
 - a. Individual animal
 - b. Group/Lot identification
3. Tracking (if applicable)
 - a. Individual animal
 - b. Group/Lot tracking
4. Field Trials/Research (if applicable)
 - a. Testing recommended protocols and procedures
 - b. Developing solutions for unknowns, in particular related to the integration of a data collection system for reporting animal movements.

D. Industry Roles

Explain how each sector listed in B.2, “Industry Focus” under “Stakeholder Participation and Focus”, will be involved in the project. What issues and/or challenges will be targeted and what will be achieved in each sector?

E. Communication Plan (required)

1. Explain how the project supports the outreach efforts of USDA, APHIS. Explain the networking infrastructure that will be utilized to achieve the outreach program. Explain how the industry will gain a better understanding of NAIS and how the communication effort will be coordinated in the state/region.
2. Obtain feedback from stakeholders and explain how feedback will be shared with the USDA, APHIS.

Project Administration

A. Milestones/Time Tables and Performance Measures

Define the major milestones for the project and provide a target date for achieving each milestone.

List the specific performance measures that will be used to evaluate the success of the project and how each element will be measured. Include short-term goals for premises identification and projections for completing premises registration in the State(s) and other measures that reflect objectives of the project.

B. Budget

Provide budget details that reflect the expenditures for the project presented (or that will be presented) on Standard Form 424A.

Note: The project funds are to be obligated by APHIS during FY 2004 and will be available for cooperator expenditures incurred within twelve months.

The following forms must be submitted with the “Assessment and Initial Implementation Projects” Workplan (above):

- **Application for Federal Assistance:** Standard Form 424
 - **Budget Information:** Standard Form 424A
 - **Assurances – Non-construction Programs:** Standard Form 424B
 - **Disclosure of Lobbying Activities:** SF-LLL
-
-

C. Submission Dates and Times:

- **Deadline:** 4:30 EST, July 15, 2004
Applications received after the deadline will not be reviewed or considered.
- **Evaluation and Selection**
The evaluation and selection of applications will be conducted within 30 days of the application deadline. Following the selection process, all applicants will be notified whether their application will be funded.
- **Allocation of Funds**
Funds will be allocated for a twelve-month period beginning on the date indicated in the Notice of Award.

D. Intergovernmental Review

CFDA 10.025 is subject to Executive Order 12372, “Intergovernmental Review of Federal Programs” in the States of: Arkansas, Delaware, District of Columbia, Georgia, Illinois, Iowa,

Kentucky, Maine, Maryland, Michigan, Mississippi, Missouri, Nevada, New Hampshire, North Dakota, South Carolina, Texas, Utah, and West Virginia. Awards will not be made until this process has been completed in the applicable states. Names and addresses of States' Single Point of Contact (SPOC) are listed in the Office of Management and Budget's home page at: <http://www.whitehouse.gov/omb/grants/spoc.html>. For those applicants that have this process in their state, submit your application to the SPOC simultaneously to submitting to APHIS. Failure to meet with this requirement will result in a rejection of your application. A copy of the SPOC receipt and approval letter will be required at the time the award is made.

E. Funding Restrictions

Project funds must be obligated by the recipient within 12 months from the date the funds are made available by APHIS (the date of approval on the Notice of Award) unless otherwise stated for a lesser period in the Notice of Award. Extensions of time to obligate funds beyond the one-year period will not be granted. Construction, including renovations of real property, is not authorized.

The applicant must submit a copy of its fully executed current Negotiated Indirect Cost Rate Agreement, negotiated by its cognizant Federal agency, when indirect costs are assessed in the budget. Each Indian tribal government desiring reimbursement of indirect costs must submit its indirect cost proposal to the Department of the Interior (its cognizant Federal agency).

F. Other Submission Requirements

Applicants can apply to this funding opportunity through Grants.gov. First time Grants.gov users should go to the "Get Started" tab on the Grants.gov site and carefully read and follow the steps listed in order to apply. Your organization will need to be registered with Central Contractor Registry (CCR). In order to register with the Central Contractor Registry, a requirement for registering with Grants.gov, your organization will need a Data Universal Number System (DUNS) Number . A DUNS number is a unique nine-character identification number provided by the commercial company, [Dun & Bradstreet \(D&B\)](#). To investigate if your organization already has a DUNS number or to obtain a DUNS number, contact Dun & Bradstreet at 1-866-705-5711. Be sure to complete the Marketing Partner ID (MPIN) and Electronic Business Primary Point of Contact fields during the CCR registration process. These are mandatory fields that are required when submitting grant applications through Grants.gov.

Please note: The DUNS and CCR requirements described above are applicable to all applicants whether you choose to apply through Grants.gov or submit a paper application package.

Applications must be received through Grants.gov or at the address below by close of business on the closing date indicated in IV. C., "Submission Dates and Times".

Applications may be submitted electronically in MS Word or PDF format (email or delivered electronic media) or one original paper application package to:

USDA APHIS VS
c/o Neil Hammerschmidt, NAIS Coordinator
National Center for Animal Health Programs
4700 River Road – Unit 43, Suite 3A54
Riverdale, MD 20737
neil.e.hammerschmidt@aphis.usda.gov

V. Application Review Information

A. Criteria

1. Summary of Score Sheet

The summary below reflects the weightings that will be used to evaluate each application.

CATEGORY	Points	
	Sub Category	Total Category
<u>Stakeholder Participation and Focus</u>		100
A. List of Stakeholders Participating	25	
B. Industry Focus	75	
<u>Overall Merit of Project</u>		600
A. Introduction and Summary	25	
B. Objectives	150	
C. Components	225	
D. Industry Roles	125	
E. Communication Plan	75	
<u>Project Administration</u>		300
A. Milestones/Time Tables and Performance Measures	125	
B. Budget	175	
Total		1000

2. Explanation of Evaluation Relative to Information Requirements

The following provides an explanation on how the applications will be evaluated and clarification of information to be provided by the applicant in preparing the application. The explanations reflect what information is to be supplied to receive a higher portion of the points possible for the category and are in the same sequence as the application form for ease of reference.

Stakeholder Participation and Focus (100)

Provide a summary list of the organizations and segments of the industry involved in the project.

A. List of Stakeholders Participating (25)

Provide a summary of the stakeholders who will be involved; include only those who will have a significant role in the project. Broad participation of stakeholder groups will receive a higher rating in this area.

Note: More information relative to their role and importance of their involvement is to be contained in Section II.D of the application. Therefore, the participation of broad industry involvement is weighted significantly when evaluating the applications.

B. Industry Focus (75)

Realistically project the number of animals by species that will be included in the project. Also, indicate the number of premises (production units, markets, feedlots, packing plants, etc.) and non-producer participants (identification companies, service providers, etc.) who will have a role in the project. Projects with multiple species (premises and/or animals) are preferred.

Overall Merit of Project (600)

The merit and value of the project as it relates to the assessment and initial implementation of the national identification system is the most important section when evaluated for consideration.

A. Introduction and Summary (25)

Provide a brief overview of the project, highlighting its significance and how it will enhance the implementation of the national identification program.

B. Objectives, Purpose, and Desired Results (150)

Clearly explain the objectives of the project. Thoroughly respond to each question/statement as listed in the Application, beginning on page 7 of this announcement.

C. Components (225)

The primary components of the national identification system include Premises Identification and Animal Identification/Tracking. Additional components for the projects include communication/outreach and field trials (research).

Premises Identification: The implementation of premises identification in accordance with the national standards is required for an application to be considered for funding. The application should indicate what premises system will be used to register the premises. Additionally, it should contain an explanation as to how the premises will be identified during the duration of the cooperative agreement and how this project will support the eventual registration of all premises in their area. Industry partnerships that support the registration of premises are important and considered a plus in the evaluation process.

Animal Identification/Tracking: Applicants may include the animal identification component. If so, explain how individual and/or group/lot identification of animals will be incorporated into the project.

Tracking animals or collecting animal movement data is also optional. Such activities should demonstrate the integration of systems to collect and submit the animal movement records and required data to the national system.

Field Trial/Research: Applicants may include a field trial/research component. Such projects may focus on the testing of protocols and procedures that are being recommended for NAIS to determine their practicality. Also developing or further testing the integration of solutions for data collection is a valid activity.

Other issues that support the advancement of NAIS may also be targeted in the field trial/research projects. For example, issues relative to data collection of animal movements that need to be resolved may be targeted. Be sure to explain the environment(s) for which a solution would be developed and explain how the trial will be implemented. Of particular merit are the topics/issues the Species Working Groups listed as needing testing or further development. (See Addendum A).

D. Industry Roles (125)

Broad industry participation is important. The applicant should explain the role of each industry segment listed in section B. "Industry Focus", under "Stakeholder Participation and Focus". The majority of the scoring emphasis in this section pertains to the degree of involvement of various segments of the production/processing industry. Applicants should expand upon the roles of each participating industry segment. Projects that include testing and development of solutions should clearly account for the sectors that will be engaged in such activity and explain the issues that will be addressed.

E. Communication Plan (75)

The project must include an outreach component that supports the national effort with USDA APHIS. Explain the networking infrastructure (producer organizations, extension, etc.) that will be utilized to achieve the outreach program. Funds should not be used to develop an independent outreach program as USDA APHIS will develop and provide

informational pieces. Rather, the cooperator should identify and describe existing resources to “deliver” the message and materials. Explain how the industry will gain a better understanding of NAIS and how the communication effort will be coordinated in the state/region. Also, explain how feedback will be shared with the USDA, APHIS to improve future communication efforts.

Project Administration (300)

A. Milestones/Time Tables and Performance Measures (125)

Establish and present milestones (key activities) with target dates for accomplishing each. The milestones must correlate to the project’s objectives and desired results.

The application must provide specific measurable objectives in the proposal, including initial implementation goals. This information will be a priority in the evaluation of the application. The specific performance measures will be used to evaluate the success of the project. Include how each element will be measured; in particular, include short-term goals for premises identification and projections for completing premises registration in the State(s) and Tribe(s). It is critical for the application to have well defined performance measures.

B. Budget (175)

This section is to more thoroughly explain the budget information presented on the Budget Information Standard Form 424A. Budgets must include only those costs that are allocable and allowable per OMB Circular A-87, “Cost Principles for State, Local, and Indian Tribal Governments” available at http://www.whitehouse.gov/omb/grants/grants_circulars.html. Well documented budgets that reflect how significant costs and in-kind contributions were estimated will receive higher evaluations. Applicants who reflect significant cost sharing, including third party in-kind contributions, will receive prioritization. In-kind contributions may include the volunteer time of producers, integrators, etc.

Note: The duplication of projects with the same objectives will be prevented by selecting the project with the more advanced/complete proposal; in particular, how the results will be measured. In other cases, the Project Administrators may be asked to consolidate their proposals into one project.

B. Review and Selection Process

USDA, APHIS, VS is responsible for the selection of projects that will be funded through cooperative agreements. A selection panel will be established to participate in the evaluation and selection process. The panel will be selected by the APHIS Administrator and will consist of individuals primarily from APHIS and may include individuals from other agencies. Individuals will be selected based on their knowledge of animal identification issues, animal production and marketing environments, and of national animal identification plans developed through the collaborative effort of industry and government. Individuals on the panel will have no

association with any project that is being reviewed. VS has final authority in determining which projects are selected to receive funding for this initiative.

V. Award Administration Information

A. Award Notice

Applications selected for funding will be notified by email or phone after the selection process is complete (approximately August 14, 2004) followed by the mailing of the notice of award (approximately 10 days after the email notification). The signature of the authorized agent and receipt of the notice of award by APHIS for final signature will initiate the cooperative agreement. A letter will be mailed to all other applicants on approximately the same date the selected applicants are first notified.

B. Administrative and National Policy Requirements

Access privileges to national databases provided to cooperators by APHIS will be given only to specific individuals specified in the agreements and must not be shared with any other individual, organization, company, or other entity. Animal health data specified under the agreement that are collected under the terms of the agreement are to be provided to APHIS in accordance with the data transfer protocols required by the national databases.

Successful applicants must comply with the requirements contained in the United States Department of Agriculture "Uniform Federal Assistance Regulations", 7 CFR 3015; "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 7 CFR 3016; in addition to "Governmentwide Debarment and Suspension (Non-Procurement)", 7 CFR 3017; "Governmentwide Requirements for Drug-Free Workplace", 7 CFR 3021; "New Restrictions on Lobbying," 7 CFR 3018; and Office of Management and Budget regulations governing "Controlling Paperwork Burdens on the Public", 5 CFR 1320.

C. Reporting

The Project Administrator will provide to the APHIS authorized representative **quarterly** accomplishment reports on program activities outlined in this application. The reports will be used by APHIS to verify compliance with provisions of this **Agreement**. These reports are due **no later than 30 days** after the end of each Federal fiscal quarter except the final report which is due **no later than 90 days** after the **Agreement** expires or terminates.

The Project Administrator will provide to the APHIS authorized representative a properly certified **quarterly** Financial Status Report, SF-269, **no later than 30 days** after the end of each Federal fiscal quarter and a final SF-269 **no later than 90 days** after the **Agreement** expires or terminates. Any requests for an extension of time to submit the SF-269 must be made in writing to APHIS' authorized representative before expiration of the initial 30 or 90 day period allowed for submitting the report. Extensions of time to submit the SF-269 are subject to the discretion of APHIS' authorized representative and, if allowed, shall be provided by the authorized representative in writing.

VII. Agency Contacts

For questions of programmatic content, please contact:

Neil Hammerschmidt
APHIS, Veterinary Services
Ph. 301-734-5571
Fax 301-734-7964
Neil. E. Hammerschmidt@aphis.usda.gov

For administrative questions, please contact:

Eileen Berke
APHIS, Agreements Services Center
Ph. 301-734-8330
Fax 301-734-8064
Eileen.M.Berke@aphis.usda.gov

VIII. Other Information

It is anticipated that the FY 2005 Federal budget will contain funds for additional Cooperative Agreements that will follow requirements similar to this Request for Applications. The USDA is not obligated to make any award as a result of this announcement. Only the APHIS Authorized Departmental Officer (ADO) can bind the Government to expenditure of funds.

Appendix A: NAIS Cooperative Agreement Priorities

General

- Determine the economic impact the implementation of NAIS will have on the various segments of the livestock industry.
- Demonstrate the performance standards necessary for ID devices to best meet the data collection needs for animal health management.
- Demonstrate the effectiveness of animal identification methodologies to enhance disease surveillance and control.
- Demonstrate the value of a distributed database system versus a central database system using the criteria of data quality, economics, security, confidentiality and access.

Premises Validation Testing

- Establish and demonstrate the premises allocation system, including but not limited to, conversions of current state premises systems to the NAIS national standard premises system.
- Establish and demonstrate systems to identify/register premises and validate the associated premises information.
- Demonstrate systems that will provide for continuous updating of premises databases.
- Demonstrate the integration of existing Brand State ID systems within the NAIS.

Individual Identification and Tracking Validation Testing

- Demonstrate the need and protocol used for "official identification sites" that identify livestock on behalf of the responsible party as the livestock enters such premises.
- Document the associated cost of identification animals at official identification sites, certified private identification companies and livestock auctions, (e.g. logistical flow, labor, liability for injury to man and beast, shrink, etc.).
- Demonstrate the systems ability to maintain normal animal flow through livestock auctions and subsequent premises while reporting animal movement data.
- Demonstrate protocol for dealing with non-compliant premises and animal ID.
- Demonstrate the value of State Brand Inspection Programs to support the implementation of the NAIS.
- Demonstrate recording / reporting animal movement protocol for video auctions.
- Outline the responsibilities of the "order buyer" in recording /reporting post-auction sorts and subsequent movements to new premises.
- Demonstrate protocol and ID requirements (brand vs. group / lot vs. individual) for recording / reporting the movement of animals from private to public land grazing (intrastate vs. interstate and commingled vs. non-commingled).
- Document the number of retags that occur as cattle move through the marketing system due to failures in readability, retention and durability.
- Demonstrate the tracking of retail tag sales and associated cost for AIN managers.
- Determine the feasibility and practicality of incorporating the commercial transportation industry for collecting animal movement data.
- Demonstrate the effectiveness of premises identification of individual animals for disease traceback purposes.

Group/lot Identification

- Demonstrate the effectiveness of premises identification of groups/lots for animal health management.
- Demonstrate the effectiveness of group/lot identification for animal health management.

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Appendix B: NAIS Data Standards

Note: The NAIS Technical and Reference Supplement with file format definitions, interface specifications, etc., is available upon request from the agency program contact. (See page16.)

- **Premises Identification Number**

The National Premises Identification Number provides a nationally unique number for each premises (location) involved in animal agriculture and is defined below.

Field Structure	Type	Example	Comments
7 Character	Alphanumeric	A123R69	Right most character is a check digit

- **Non-Producer Participant Number**

The NAIS provides for the establishment of Non-Producer Participants who will be involved in the program, but do not manage or hold livestock. The Non-Producer Participant Number is a unique 7-character field as presented in the following chart.

Field Structure	Type	Example	Comments
7	Alphanumeric	H892345	USDA will allocate unique numbers to approved Non-Producer Participants using the same system used for allocating premises identification numbers.

- **Animal Identification Numbering System**

The national numbering system for individual animals is referred to as the Animal Identification Numbering (AIN) System. The format (field specifications) of the AIN is defined below.

Field Structure	Type	Example	Comments
3	Numeric	840	ISO 3166 Country code for USA
12	Numeric	123456789012	Start number > 002,000,000,000

Note: Other identification numbering systems defined in the Code of Federal Regulations remain official through a transition period.

- **Group/Lot Identification Number**

Group/Lot ID will consist of the National Premises Identification Number of the location where the group was established and a six digit numerical number reflecting the date the group was created. This format will result in a unique number, for example: A234567100302.

Field Structure	Type	Example	Comments
7	Alphanumeric	A234567	First 7 characters is the entity's US Premises ID Number
6	Date (MMDDYY)	100302	

Group/Lot ID is an option for any species in which animals move as a group through the production chain.

- **Premises Identification Systems**

The Premises Identification systems will collect and maintain the following information and submit the required data to the National Premises Repository.

Data Elements – Premises Identification Database		
Field Name	Type	Length
US Premises ID Number	Alphanumeric	7
Name of Entity	Alphanumeric	30
Owner or Appropriate Contact Person*	Alphanumeric	30
Street Address	Alphanumeric	30
City	Alphanumeric	20
State	Alpha	2
Zip/Postal Code	Numeric	9
Contact Phone Number	Numeric	15
Operation Type	Character	1
Date Activated	Date (YYYYMMDD)	8
Date Retired	Date (YYYYMMDD)	8
Reason Retired	Alphanumeric	1
Historic Data**		
Previous Contact Person	Alphanumeric	30
Previous Contact Person Phone	Numeric	15
Previous Contact Person - Start Date	Date (YYYYMMDD)	8
Previous Contact Person - End Date	Date (YYYYMMDD)	8
GPS		
Longitude	Numeric (5 decimals)	7
Latitude	Numeric (5 decimals)	7
Alternative Phone Numbers **	Numeric	15
<p>* The contact person should be the person with whom the animal health official is to communicate with when performing a traceback (as determined by the entity).</p> <p>** Requires facility to store multiple records.</p>		

- **Premises Upload Record Format**

The following format describes the file that each Premises Identification System will utilize to update records to the National Premises Repository. The file naming convention is defined as:

Non-producer Participant ID number+YYYYMMDDHHMMSS time stamp and .PRM file extension. For example: X23456720030801032312.PRM

Premises Upload Record Format (File: Prem #1)				
File Header Record (One Record)				
No.	Field Description	Data Type	Size	Example
1	Non-producer Participant Number	Character	7	X234567
2	Transmission Date	Numeric	12	YYYYMMDDHHMM
3	Record Count	Numeric	8	100
4	E-mail Address	Character	60	Bill.smith@Dataprovider.com
Record Description (Multiple Records)				
No.	Field Description	Data Type	Size	Example
1	Premises ID Number	Character	7	T234W67
2	Name of Entity	Character	30	
3	Owner or Appropriate Contact Person	Character	30	
4	Street Address	Character	30	
5	City	Character	20	
6	State	Character	2	
7	Zip/Postal Code	Numeric	9	
8	Operation Type	Character	1	(M for Market, etc.)
9	Contact Phone Number	Numeric	15	
10	Date Activated	Character	8	YYYYMMDD
11	Date Retired	Character	8	YYYYMMDD
12	Reason Retired	Character	1	

- **AIN/Animal Transaction Record**

Animal records submitted to the National Animal Identification database will utilize the following file format specifications. The file naming convention is defined as:

Non-producer Participant ID number+YYYYMMDDHHMMSS time stamp and .IND file extension. For example: X23456720030801032312.IND

AIN/Animal Transaction Record (File: ID #1)					
File Header Record (One Record)					
No.	Field Description	Data Type	Size	Example	
1	Non-producer Participant Number	Character	7	X123456	
2	Transmission Date	Numeric	12	YYYYMMDDHHMM	
3	Record Count	Numeric	8	100	
4	E-mail Address	Character	60	bill.smith@Dataprovider.com	
Record Description (Multiple Records)					
Field No.	Field Description	Data Type	Size	Required	Example
1	Event Type Code	Numeric	2	Y	1
2	Sighting/Reporting Premises ID	Character	7	Y	
3	Source/Destination Premises ID	Character	7	N	
4	Event Date & Time	Numeric	12	Y	YYYYMMDDHHMM 200308011223
5	AIN Number Used	Boolean	1	Y	0 (False) / 1 (True, then Field 6 is required, default)
6	Animal ID number	Numeric	15	Y	Until AIN number is the only approved animal ID identifier, Other official ID numbers need to be reported in fields 15 thru 18
7	Species	Character	3	N	
8	ID Electronically Read	Boolean	1	Y	0 (False default) / 1 (True)
9	Animal Date of Birth	Character	8	N	YYYYMMDD 20020101
10	Age of Animal	Character	3	N	(M)onth, (D)ay, (Y)ear i.e. M11
11	Sex	Character	1	N	(M)ale, (F)emale, (C)astrated/neutered male, (S)payed/neutered female
12	Breed of Animal	Character	2	N	See document Breed codes US and Can1.pdf
13	Remarks	Character	50	N	Description/other comments
14	Status	Character	1	N	(C)orrection
15	Alternate Animal ID 1	Character	17	N	Alternate pre-existing official Identification number if AIN not available, Lot ID number if animal has AIN number and was moved out of a lot, old AIN number if tag replaced
16	Alternate Animal ID Type 1	Character	1	N	(A)merican ID, (U)SDA eartag, (R)FID, (B)reed registry number, (L)ot number, (T)attoo, required if Alternate ID (field 15) is provided, R(E)placement AIN number if event code 6 used
17	Alternate Animal ID 2	Character	17	N	Second alternate pre-existing official Identification number if AIN not available, or Lot ID number if animal has AIN number and was moved out of a lot
18	Alternate Animal ID Type 2	Character	1	N	(A)merican ID, (U)SDA eartag, (R)FID, (B)reed registry number, (L)ot number, (T)attoo,required if Alternate ID (field 17) is provided

Record format: Comma delimited, double quotes around fields that include a comma terminate a record with an EOL character and the file with an EOF character.

- **Group/Lot Movement Record**

Group/Lot records submitted to the National Animal Identification database will utilize the following file format specifications. The file naming convention is defined as:

Non-producer Participant ID number+YYYYMMDDHHMMSS time stamp and .LOT file extension.
For example: X23456720030801032312.LOT

Group/Lot Movement Record Format(File: ID #2)					
File Header Record (One Record)					
No.	Field Description	Data Type	Size	Example	
1	Non-producer Participant Number (source of data)	Character	7	X123456	
2	Transmission Date	Numeric	12	YYYYMMDDHHMM	
3	Record Count	Numeric	8	100	
4	E-mail Address	Character	60	bill.smith@ Dataprovider.com	
Record Description (Multiple Records)					
Field No.	Field Description	Data Type	Size	Required	Example
1	Event Type Code	Numeric	2	Y	1
2	Premises ID	Character	7	Y (Required when event code is 2, 3, or 4)	
3	Event Date & Time	Numeric	12	Y	YYYYMMDDHHMM 200308011223
4	Lot ID number	Character	13	Y	G/L ID number is comprised of Premises ID and date the lot was established
5	G/L Subset Identifier	Character	30	N	Used to identify subset such as a barn
6	Group Type	Character	1	Y	(S)tatic, (D)ynamic
7	Species	Character	3	Y	
8	Event Remark	Character	50	N	
9	Status	Character	1	N	(C)orrection

Record format: Comma delimited, double quotes around fields that include a comma terminate a record with an EOL character and the file with an EOF character.

Note: The NAIS Technical and Reference Supplement is available upon request from the agency program contact. (See page16.)